

**SITE REMEDIATION PROFESSIONAL LICENSING BOARD OF NEW JERSEY
AUDIT PROCESS AS REQUIRED BY THE SITE REMEDIATION REFORM ACT**

N.J.S.A. 58:10C-24

Prepared by the LSRP Board Audit Subcommittee

November 1, 2011; revision December 19, 2011

These are the proposed procedures for completion of an audit of a Licensed Site Remediation Professional (LSRP), as required by law and to be performed by the Site Remediation Professional Licensing Board (SRPLB). These audit procedures and requirements are separate and distinct from the inspection and review of documents performed by NJDEP. It is the intention to finalize these procedures and approve by resolution of the SRPLB so audits can start immediately prior to the first SRPLB meeting of 2012, January 9, 2012. The Board will make every effort to audit 10% of LSRPs, however may not achieve this objective until adoption of Rules. These procedures will be used to support the rule making process and may be modified by the SRPLB.

1. The Site Remediation Reform Act (SRRA) requires the SRPLB to audit at least 10% of the LSRPs per year, so the SRPLB will establish the number to be audited per calendar year at the first meeting of each calendar year. The number of LSRPs to be audited will be calculated by 10% of the approved LSRPs on January 1st of each year, plus 5 to anticipate additional LSRPs receiving approval in the calendar year. For example, if there are 420 LSRPs approved, then 47 LSRPs will be audited for the calendar year.
2. After the number of LSRPs to be audited has been established by the SRPLB, the Audit Committee will randomly select the monthly amount to be audited in a committee meeting. The random process will be completed with the assistance of staff and be completed in the following manner: 1) Using the Dataminer Report as a base, a simple spreadsheet/worksheet of all the LSRP numbers will be generated. 2) Then a second worksheet of random generated numbers will be prepared using excel. 3) With both worksheets attached, the spreadsheet will be downloaded into an Access database creating a primary key of LSRP numbers, so that the numbers in the random generator can be assigned to an LSRP number. 4) A query matching the LSRPs Primary Key with the random generated number will be performed, and the list will be utilized from the top, until enough numbers have been chosen to complete the necessary audits.
3. Immediately following the selection, the Board Secretary will confirm that none of the LSRP numbers are currently undergoing review by the Professional Conduct Committee. If an LSRP is selected to undergo an audit and they are currently subject of a professional conduct committee investigation, their name will be held out of the pool of LSRPs to be audited until the outcome of their investigation is complete and then their audit will immediately commence.
4. Following the above, the individual names will be added to the LSRP numbers, so as to now identify the person and an audit team made up of two (2) SRPLB members, one of which will be a non-LSRP, will be established. If potential conflicts in accordance with the SRPLB Bylaws occur, the Audit Committee will replace the conflicted team member, as necessary. Each member of the SRPLB will serve on an audit team, with the

5. exception of the Chairperson, and the team members will rotate as determined by the Audit Committee. Since LSRPs who serve on the SRPLB are not exempt from the audit process, if one of the LSRPs on the SRPLB is selected for Audit, potential conflicts must be cleared with the Deputy Attorney General (DAG) and the LSRP must be recused from all actions. In this event, a DAG may serve on the Audit team, if necessary. The LSRP number and name will **not** be made public at the time of selection.
6. A letter will be sent via email with delivery confirmation, by the SRPLB Secretary detailing the statutory basis for the audit in accordance with SRRA and requesting the completion of the SRPLB Audit Questionnaire to be returned within **30** days of receipt. At the same time, a request will be made to SRPLB staff for a copy of the LSRP Comprehensive Report from NJEMS.
7. After the questionnaire is returned to the SRPLB Office by the LSRP, the assigned audit team will review the questionnaire and NJEMS report, outside of a Board meeting, and work with staff during the process, as needed. One audit team per month will complete the necessary review of the monthly allocation of audits. Upon completion of the review of the questionnaire and other documents, as well as discussions with the LSRP and/or staff, if the team deems necessary, the audit team will render one of the following conclusions:
 - a. Audit team determines the audit is *complete*; or
 - b. Audit team believes a referral of the LSRP to the Professional Conduct Committee for disciplinary review is necessary.
8. Audit team findings will be reported to the Audit Committee which will report *completed* findings to the SRPLB at a Board meeting, issue a letter via email to the LSRP, and then post the *completed* audits to the SRPLB website. If the audit team was unable to reach a decision on the findings, the team will state its opinion to the Audit Committee and the Committee will decide upon an outcome. The notice on the web site will simply list the number and name of the LSRP and date of the “*complete* audit.” Any findings that warrant referral to the Professional Conduct Committee will be sent directly to that committee with no report to the SRPLB or LSRP and no posting to the website. Only if and when the Professional Conduct Committee determines that no disciplinary action will be taken, or at the conclusion of action by the Professional Conduct Committee which does not affect the status of the LSRP, will the LSRP receive an email of a “*complete*” audit and the findings posted to the website. Any and all action taken by the Professional Conduct Committee, affecting the status of the LSRP or disciplinary action will be reported by that committee and will not be reported by the Audit Committee.
9. All referrals to the Professional Conduct Committee will follow the procedures of said committee, including confidentiality as prescribed.
10. The goal of the SRPLB will be to complete each audit within 90 days of receipt of a completed questionnaire.

11. LSRPs can expect to be audited no more than one (1) time per year; however, the random selection will still be considered on 10% of the total number of LSRP's as of January 1st of each calendar year.